



Department of Finance State Fiscal Recovery Funds Reporting Portal User Manual

Document Version

3.2 (dated April 12, 2023)

Link to Portal

<https://apps.esd.dof.ca.gov/sfrf/>

Contacting Finance

Please contact FiscalRecovery@dof.ca.gov for all portal-related questions.

Compatibility Note

The portal has been optimized for Google Chrome v99.0.4844.84 and above and Microsoft Edge v99.0.1150.55 and above.

If you experience technical issues, please make sure your browser is updated to the latest version and try both of the supported browsers before contacting Finance.

General Guidance

Unless otherwise stated in writing, all communications between Finance and departments are advisory and not to be construed as directives for purposes of administering SFRF programs pursuant to federal requirements.



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Prime Recipients (“Primes”)

Accessing the Portal

Account Creation

All users must be registered to gain access to the State Fiscal Recovery Funds (SFRF) Reporting Portal. Users are not able to register on their own; Finance will create the Authorized Representative user account for the Prime (Prime entities are equivalent to departments) and that Authorized Representative user account can then create accounts for all other portal users for that Prime. The Authorized Representative may create an Administrator account which has the ability to create other accounts in lieu of the Authorized Representative doing so. This process is described in greater detail under the Prime User Accounts section.

Upon creation of their accounts, new users will receive an email with their username, default password, and an account verification link. Users must click the account verification link and reset their passwords from the default password before they are able to log in. These emails will come from a “no-reply” user address. If the email is not received within a few minutes, check your spam or junk email folder. Finance recommends that users add *no-reply@sfrf.dof.ca.gov* to their safe-senders lists.

Logging in for the First Time

To log in for the first time: click the account verification link from the account creation notification email and when the page loads, click “Change password”. On the next page, type in your username, the current (default) password, and then a new password. New passwords must be at least ten characters long and must have at least one of each of the following:

- Upper case character
- Lower case character
- Number
- Special character (e.g., * % ^ &)

Click “Change password”, wait for a confirmation message, and then click “Back to Login” to return to the login page. Users may then log into their accounts.

Forgotten Passwords

If users forget their passwords, use the link on the login page labeled “Forgot password”. This tool sends users emails with randomly-generated passwords. Subsequently, users will have to manually reset those passwords using the same “Change password” tool described above before logging in again.

Account Lockouts

Users will be locked out of the portal after five unsuccessful login attempts. Users can be unlocked by the Authorized Representative or Administrator of their entity. Users whose accounts are locked and then unlocked will have to create a new password.

System Inactivity

After 15 minutes of inactivity, users’ screens will be paused and users will have to re-enter their credentials to resume their sessions. Information entered but not saved will remain available after users resume their sessions.

After 30 minutes of inactivity, users will be logged out entirely and all unsaved information will be lost. Due to an ongoing system issue, in such a situation, Finance recommends users reload the portal login page entirely.

Portal Organization

The portal is organized, broadly, into three components: one for Finance, one for Prime recipients (i.e., departments), and one for entities receiving project funds (hereafter referred to as “entity” or “entities”).

Along the top of the browser window, there is a blue navigational bar with the following options: Home, Quarterly Reports, Entities, User Admin, and Department Contacts. Each option is clickable and loads a page with the following functionalities (note that some of these functionalities are only available to users with editing privileges):

Home Page: View current and historical information by project and award; edit quarterly information before submitting to Finance; navigate to the Home Page of the entity receiving a particular award.

Quarterly Reports: See summary information for projects in the current reporting period; submit quarterly report information to Finance; mark a project as being complete.

Entities: Add entities receiving project funds (e.g., grant recipients, contractors, equipment providers) to the portal for administration by a Prime; view either entities associated with a given Prime or all entities in the portal.

User Admin: View and manage user accounts associated with a Prime and the various entities overseen by a Prime.

Department Contacts: Add user accounts to a Prime; view all user accounts associated with a Prime; delete user accounts associated with a Prime.

More information on these various pages and actions is provided below.

There is also a “Log Out” option on the far right of the blue navigational bar. It is preferable to log out via this option instead of simply closing your browser window.

Navigating the Home Page

Upon logging in, Prime users will be taken to their Home Page, which shows (1) a list of projects associated with their Prime and (2) the awards associated with each project. Projects are listed on the left of the screen and awards are listed in the center of the screen. To view the awards associated with a project, simply click the project name on the left side of the screen.

Awards are categorized as incomplete or complete. “Incomplete” means that awards are not yet fully expended; “complete” means that either awards have been fully expended or no further work will be done in connection with that award. Incomplete/complete status is described in more detail below. Users can view awards by completion status by selecting either the “Incomplete Awards” or “Complete Awards” button.

Prime User Accounts

Finance will create an initial account for each Prime’s “Authorized Representative” who will be responsible for creating accounts for all other portal users under that Prime or delegating that responsibility to an “Administrator”. All accounts must have a System Role and a Contact Role:

- **System Roles:** Determines the users' ability to edit portal data.
- **Contact Roles:** Informational designations to help Finance determine the best point-of-contact in case of questions for a given issue.

System Roles and Contact Roles are described in more detail below.

System Roles

Action	Available System Roles – Prime Users			
	Authorized Representative	Administrator	Reporting/Update	Read-Only
Download Prior Submissions	✓	✓	✓	✓
View Current Submission	✓	✓	✓	✓
Access Contact Information	✓	✓	✓	✓
Add Entities	✓	✓	✓	X
Add Awards	✓	✓	✓	X
Enter/Edit Expenditures and Obligations	✓	✓	✓	X
Add Contacts	✓	✓	X	X
User Admin Functions (e.g., add contacts, lock/unlock accounts)	✓	✓	X	X
Final Submission	✓	X	X	X

Figure 1. Table of permissions for different Prime User System Roles.

Authorized Representative: Master user which has full editing and reporting access for all projects, awards, and users under that Prime. Able to: create, lock, unlock, and delete user accounts; reset passwords; make awards and associate those awards with entities; modify award information submitted by entities; submit quarterly reports to Finance.

Administrator: This role has the same permissions as the Authorized Representative, except that Administrators cannot submit quarterly reports to Finance. Able to: create, lock, unlock, and delete user accounts; reset passwords; make awards and associate those awards with entities; modify award information submitted by entities.

Reporting/Update: This role has the same permissions as the Administrator, except the ability to create and manage user accounts. Able to: make awards and associate those awards with entities; modify award information submitted by entities. Users can edit and save information, but cannot submit quarterly reports to Finance.

Prime Read Only User: No editing abilities. Users can only view current reports, download past submissions, and access contact information for other users.

Contact Roles

Accounting Contact: Individual who can answer accounting-related questions for projects assigned to the Prime.

Audit Contact: Individual who can answer auditing-related questions for projects assigned to the Prime (e.g., how information was gathered from entities and subsequently verified at the Prime level through monitoring, auditing, and oversight activities).

Program Expert: Individual who can answer detailed programmatic questions about a particular project or projects. Individuals who are designated as Program Experts must be associated with specific projects when their accounts are created.

Reporting Contact: Individual who can answer questions about highly-specific reporting questions for a particular project or projects. Individuals who are designated as Reporting Contacts must be associated with specific projects when their accounts are created.

Task Force Contact: Individual who is a representative to the bi-weekly Task Force meetings that Finance has with all Prime SFRF recipients. This individual is responsible for sharing information with other designees of the Prime and with Finance.

Finance Abilities

Finance is able to: add/manage/delete users; reset passwords; lock and unlock users; create Prime and entities; create projects; add awards; edit awards; lock and unlock all Prime and/or entity users all at once; contact all users at once; and rollover the portal between quarters.

Adding a New User (Department Contacts Page)

The screenshot shows the 'Add Contact' form with the following fields and values:

- First Name *: Joe
- Last Name *: Sample
- Email Address *: joe.sample@courts.ca.gov
- Phone Number *: (916) 555-5555
- Select System Role *: Reporting/Update

The 'Select Contact Role*' modal is open, showing the following options:

- ☐ Accounting Contact
- ☐ Audit Contact
- ☒ Program Expert
- ☐ Reporting Contact
- ☐ Task Force Contact

Below the radio buttons, there is a section for 'Assign project(s)*' with the following options:

- ☒ Legal Services for Eviction Prevention and Housing Stability
- ☐ DUMMY PROJECT

The form also includes a 'Cancel' button and a 'Save changes' button.

Figure 2. Example of Adding a Prime-Level User Account on Department Contacts page.

To add contacts, the user must be either an Authorized Representative or an Administrator, as only these system roles are allowed to create new user accounts. Click “Department Contacts” at the very top of the screen. After the page loads, click “Add Contact”, which is on the center-left of the page. Enter the first name, last name, email address, and phone number of the individual. Select a System Role and a Contact Role for the individual, limiting by project if needed. When adding a new user with the “Reporting/Update” or “Read-only” System Roles, you must assign at least one project to the user. If the user is responsible for more than one project, you may assign multiple projects under the same System Role designation.

Primes will be required to add at least one Authorized Representative or Administrator for each entity. That entity user will then be able to add other users and contacts for their entity. Primes can add users at the entity level by navigating to the entity’s portal page at the very top of the

screen. Adding users at the entity level is similar to adding them at the Prime level. See “Using Portal from Entities’ Perspective” for instructions on navigating to the entity view and “Account Creation” under the entities’ section of this user guide for more instructions on creating entity accounts.

Managing Existing Users (User Admin Page)

Primary Recipient: Judicial Branch

Contacts
Account users and point of contact for department and projects.

[Add Contact](#)

SORT - CLICK ON COLUMN HEADER

First Name	Last Name	Phone Number	Email Address	Point of Contact Role	System Role	
				Reporting Contact * LEGAL SERVICES FOR EVICTION PREVENTION AND HOUSING STABILITY	Authorized Representative	
				Reporting Contact * LEGAL SERVICES FOR EVICTION PREVENTION AND HOUSING STABILITY	Authorized Representative	
				Program Expert * LEGAL SERVICES FOR EVICTION PREVENTION AND HOUSING STABILITY	Administrator	

Figure 3. Example of Account Management on “User Admin” page.

Only Administrators or Authorized Representatives can manage user roles. To manage user roles, first click “User Admin” from the blue navigational bar. After the page loads, you will see the full list of user accounts associated with the Prime, including user accounts of associated entities.

On the far right of the screen, there is a column called “Actions” with four different icons: a circular arrow, a lock, a “Do Not” sign, and a trash can. The circular arrow will allow you to reset a user’s password. The lock will allow you to unlock a locked user. The “Do Not” sign will allow you to temporarily block a user from accessing the portal. The trash can will allow you to delete a user from the portal entirely (data will not be deleted).

Users associated with the Prime can also be deleted from the “Department Contacts” page.

Entities – Purpose and How to Add to the Portal

The portal is designed so that entity records are created within each project and then awards are associated with the different entities. Each entity is uniquely identified through the combination of a FISCAL Supplier ID, the Supplier ID Branch, and a SAM.gov Unique Entity Identifier (UEI) ¹ or Taxpayer Identification Number (TIN). In addition, the portal contains a new field to identify entities as one of the following types: Sub-Recipient or contractor (pursuant to 2 CFR § 200.1) or beneficiary.

¹ Previously, the portal relied on an alternative identifier (DUNS numbers) for creation and identification of entities. As of April 2022, the federal government has transitioned away from using DUNS numbers in favor of UEIs. For more information about how to get a UEI at SAM.gov, there is help available through [these instructions](#). See this [webpage](#) for additional information on the federal government’s transition to UEIs.

UEIs are used by the federal government to identify recipients of federal awards, similar to how the FI\$Cal Supplier ID is used by the state. Entities that have previously received a federal award should already have UEIs (this would include nearly all local governments in the state). Primes should be gathering UEIs from entities as they make awards. *As of April 2022, Primes should ensure their entities are registered in SAM.gov.*

Some entities may have awards from multiple Prime departments. In this case, the UEI or TIN ensures that the entity is recognized as the same across all awards and projects.

Some entities can have multiple UEIs and only one FI\$Cal Supplier ID. This occurs most often with local governments. For example, a city may have one Supplier ID and multiple UEIs for its various departments (e.g., Housing Department, Health and Human Services Department, etc.). Each UEI will be recognized in the portal as a separate entity.

All entities will have FI\$Cal Supplier IDs. However, in many cases a single Supplier ID will have multiple addresses associated with it (e.g., a county may have a single supplier ID, but have several different departments and associated addresses). These addresses for a single supplier ID are differentiated by a Branch number. *For auditing and accounting purposes, it is very important to align the Supplier ID Branch address with the entity's address as indicated on the actual award documents (e.g., contracts and grant agreements).*

Figure 4. Example of entity record creation window involving an entity with no previously-stored UEI.

Creating a new entity record requires action by someone with one of the following system roles: Authorized Representative, Administrator, or Reporting/Update.

First, search to see if the entity has been created (by any Prime) already. From the blue navigational bar, click “Entities”. In the center-left of the screen, there are options for “Under department” or “All”. By default, “Under department” will be selected, showing entities associated with the Prime to which the logged-in user account belongs. If you select “All”, you can see every entity that is stored in the portal, for any Prime. If you wish to make an award to an entity and it does not appear in either the “Under department” or “All” lists you will have to create the new entity record.

Click “Add Entity”, which is on the center-left of the page. A new window will appear in the center of the screen.

Step 1 – UEI

For step 1, enter the UEI of the entity, if one exists and is known, and press the magnifying glass icon to search.

The portal will check to see if (1) the UEI has already been loaded into an entity record and (2) whether SAM.gov has a record for that particular UEI number.

Regarding check (1), a separate Prime may have added the UEI to an entity record under that Prime’s project. If the portal finds a match for the UEI during this check, it will jump to Step 4 (described below) and will show the information already on file for that particular UEI.

Regarding check (2), reference information from SAM.gov on active registrations has been loaded into the portal. The portal will search for the UEI in this information and indicate whether the UEI appears to be associated with an active SAM.gov registration. It will also identify the address associated with that registration.

If no UEI is known, check the box indicating that the entity has no UEI and proceed to Step 2. The portal will load Step 2 if a UEI is not found or determined to not already be stored in the portal.

Step 2 – Supplier ID

Step 2 allows you to look the entity up by FI\$Cal Supplier ID and load it into the portal using the address information on file with FI\$Cal. Enter the entity’s FI\$Cal Supplier ID and press the magnifying glass icon to search against pre-loaded information.

Finance recommends gathering all Supplier IDs for entities ahead of time to assist with adding those entities to the portal.

Step 3 – Supplier Branch

If there are multiple matches for the Supplier ID, the portal will load Step 3 for you to select the particular supplier branch (address). Select the branch/address associated with the award from the drop-down list.

If there is no match for Supplier ID and the Supplier ID is known to be correct, please contact Finance at FiscalRecovery@dof.ca.gov.

Step 4 – Entity Information

If the supplier ID is recognized in the portal, the portal will automatically populate the entity’s address on file with FI\$Cal. Confirm that the address information is correct and select a choice from the Entity Type and County dropdown menus. Add in the entity’s UEI (if available) or TIN (referred to as “EIN”). Do not add Social Security Numbers (SSN) or Individual Taxpayer Identification Numbers (ITIN). Either a UEI or TIN is required to save the new entity record.

Creating an Award and Associating It with an Entity (Home Page)

After an entity has been added to the portal, a Prime can make an award within an individual project and associate that award with that entity.

Award creation requires action by someone with one of the following system roles: Authorized Representative, Administrator, or Reporting/Update.

Navigate to the Home page and select the requisite project from the project list on the left side of the window (if there are multiple projects under the Prime). In the center-left of the window, press “Add Award”. A new window will appear in the center of the screen.

Note: The “Add Award” button will not be available if you have fully allocated and/or expended the total project allocation.

The screenshot shows the 'Add Award' form with the following details:

- Step 1. Find existing entity by entering UEI, supplier ID or name, and clicking search**
 Enter UEI, supplier ID or search by name
 UEFIJTL7QKSXH1
- Step 2. Select an entity after searching from above**
 Select an entity *
 UEHUFJTL7QKSXH1, Supplier ID-0000007241-, ALLAN HANCOCK JT COMM COLL DIS-800 S COLLEGE DR, SANTA MARIA, CA, 93454
- Step 3. Enter award details (* Indicates required field)**
 - Award Information ***
 - Award Number *: A001
 - Award Amount *: 500,000
 - Award Description *: Sample text
 - Performance Information ***
 - Other Information**
 - Award Type *: Contract: Purchase Order
 - Award Date *: 4/1/2022

Buttons: Cancel, Save

Figure 5a. Adding an award and providing “Award Information”.

For steps 1 and 2, search for the requisite entity by UEI, supplier ID, or name and then select from the drop-down list. Names are case-sensitive.

For Step 3, there are three sub-tabs under “Enter Award Details”.

- Award Information:** On the first sub-tab, provide an Award Number and fill out the required details (Award Type, Award Date, Award Amount, and Payment Method). Primes are responsible for populating this information at the time of the award creation, though it can be edited later.
 - Award Number must be unique within the entire statewide range of awards. The portal automatically checks and flags when the number is not unique.
 - For Award Type and Payment Method, choose from a pre-determined set of choices via drop-down menus. There is a 4,000 character limit in the “Award Description” box. The various choices for Award Type and their corresponding definitions are provided in Appendix 1.
- Performance Information:** On the second sub-tab, provide start and end dates for the Period of Performance. Provide the address for where the majority of work will be conducted or check “primary place of performance is the same as entity address” box. A county is required and can be selected from the “Select a county” drop-down menu. There is an option in this menu for “Statewide” but may only be used if the project is truly statewide.
 - While initially creating an award, you may input this information on behalf of the entity. If you do not have this information available, you may leave the “Performance Information” tab blank and press save. The portal requires entity to provide Performance Information before they are able to submit anything to the Prime.

- Period of Performance Start Date must not precede the Award Date.
- **Other Information:** On the third sub-tab, no information is required. However, you may provide additional Counties in the “Service Area(s)” field and any Related Project Names that may exist for this particular award.
- Press “Save” at the bottom of the center window to save the award and store it within the portal. The portal will not allow a record to be saved if any required information is missing. Any missing information will be identified at the bottom of the center window in red text. If the award saves successfully, it will immediately appear in the awards list for the selected project.

Add Award

Step 1. Find existing entity by entering UEI, supplier ID or name, and clicking search
 Enter UEI, supplier ID or search by name
 UJTL7QKSXH1

Step 2. Select an entity after searching from above
 Select an entity *
 UEJFJTL7QKSXH1, Supplier ID-0000007241, ALLAN HANCOCK JT COMM COLL DIS-800 S COLLEGE DR, SANTA MARIA, CA, 93454

Step 3. Enter award details (* indicates required field)

Award Information * Performance Information * Other Information

Performance Information - Including Primary Place of Performance

Period of Performance Start Date: 4/1/2022 Period of Performance End Date: 12/31/2022

☒ primary place of performance is the same as entity address
 Select a county
 Santa Barbara

Cancel Save

Figure 5b. Providing “Performance Information” while adding an award.

Note Regarding Creation of New Awards: If a Prime creates a new award subsequent to the creation of the entity’s Authorized Representative user account, the Prime will have to navigate to the entity’s perspective and modify the Authorized Representative’s user account to be associated with that new award. Until that association is made, no user account of the entity will be able to input and submit information related to the new award. After the association is made, the entity’s Authorized Representative will be able to associate other users from that entity with the new award.

Managing Awards (Home Page)

As part of the normal cadence of quarterly reporting, entities will submit their expenditures to Primes about one week before Primes must submit to Finance. This schedule gives Primes a window to verify all reports are accurate before submitting to Finance. If a Prime finds an issue with any reported information, a Prime user with editing permissions may update the information themselves or they may work with their entities to have them correct it. Under either scenario (Prime or entity making a correction), Primes must work with their entities to correct any issues and electronic documentation should be saved to demonstrate the change and agreement from both entities and Primes.

Award information may be updated as long as Primes have not submitted their Quarterly Reports to Finance and Finance has not locked the portal.

Primes may also mark awards or entire projects as complete, meaning that no further submissions will be provided for any quarterly report.

Updating Award Information (Home Page)

To edit an award, navigate to the Home Page, choose the relevant project, and from the project's award list, click the Award Number of the relevant award. A new window will appear in the center of the screen with five sub-views: Award, Expenditure/Obligation, Demographic Distribution, Supporting Documents, and Submission. Use the buttons at the bottom of the page to navigate between these sub-views.

Award

On the first sub-view, "Award", press "Edit" to update basic Award Information and Performance Information. After changes are made, press the "Save" button to return to the "Award" sub-view.

Expenditure/Obligation

To access the second sub-view, "Expenditure/Obligation", press the "Next" button at the bottom of the center window. Any edits to Expenditures and Obligations may be typed directly into the boxes shaded light grey. Expenditures may be updated for the current reporting cycle and for prior cycles.

NOTE: Expenditures are being reported to the U.S. Treasury on a cash basis and equals the total of the remaining obligations and expenditures reported in this portal. As described in [the Frequently Asked Questions](#), remaining obligations are the amount of funds that have been advanced to subrecipients, which have not yet been used to pay invoices, and expenditures are the amount of funds paid to subrecipients to reimburse them for goods, services, and administrative costs as well as invoices actually paid by the subrecipient from advanced funds.

Demographic Distribution

To access the third sub-view, "Demographic Distribution", press the "Save and Continue" button at the bottom of the center window. Entities are required to provide an answer and explanation for the Demographic Distribution question, and Prime users may update their responses if needed.

Supporting Documents

The fourth sub-view allows users to upload backup documentation. Examples of backup documentation may include, but not be limited to, copies of contracts, grant agreements, invoices, or accounting records. For any uploaded file, a brief description is required; there is a text field to provide this description. The maximum file size for any individual file is 10 megabytes.

It is also possible to overwrite documents previously uploaded. On the left side of each uploaded file, there is an icon of a diagonal pencil. Click this icon to re-upload and overwrite a file previously uploaded.

Submission

While in the "Supporting Documents" sub-view, click "Submission" to access the fifth and final sub-view. The "Submit Quarterly Report" saves all changes on this sub-view. Click the "X" in the top right corner to return to the "Award" home screen.

NOTE: At this screen, the "Submit Quarterly Report" button does not actually submit the Quarterly Report to Finance. This final "Submission" sub-view is used for saving information to the portal only. Formally submitting the Quarterly Reports to Finance is a separate process and is described in more detail below.

Marking Awards as Complete (Home Page)

Prime users can mark awards as “Complete” when the awards are fully expended. Marking an award as “Complete” will terminate both the Prime and entities’ abilities to submit updates for that award. Within the Prime perspective, marking an award as “Complete” is typically an irreversible process. Only Finance can revert an award to “Incomplete” status and Finance will do so only in limited circumstances.

Awards can only be marked as complete when the award amount matches the cumulative expenditure amount. To mark an award as “Complete”, navigate to the Home Page and choose the completed project. In the center left of the award list, mark the checkbox for the award you wish to mark as complete. Above the award list, click “Save/Change Completion” and type in the required verification text. The award will now move to the “Completed Awards” list, available by clicking the circle next to “Completed Awards”.

If an award has not been fully expended, but the work associated with that award is complete and no further activity is expected, Primes are able to mark the award as “Complete” by reducing the award amount to match the final expenditure amount. For example, if an award is initially for \$20,000 and has final expenditures of \$2,000, the portal will permit users to mark the award as complete after the award amount is changed to \$2,000.

Quarterly Reports Page

The Quarterly Reports submission page includes new fields regarding payments made to individuals (e.g., salaries and benefits of state staff working on projects), required and discretionary reporting on program progress, and the tools for submitting Quarterly Reports to Finance. The Quarterly Reports page also includes a document upload feature for providing required information and additional project-level supporting information.

Submitting Quarterly Reports to Finance

Primes are responsible for submitting information for all of the projects/awards they oversee to Finance by the due date of every quarter/reporting period. Within Primes, only Authorized Representatives are able to submit Quarterly Reports to Finance. Quarterly Reports should only be submitted to Finance after the Prime has reviewed and verified all expenditure information.

Navigate to the “Quarterly Reports” page from the blue navigational bar. For the project you are reporting on, review the summarized information for the project, and provide a summary in the available “Quarterly Notes” text box. There is no character limit for this text box. There is also now an option to export all previously-submitted notes using the “Notes history” link to the upper right of the notes entry box.

Check the “Project completed” checkbox if there will be no additional reports on the project during all future reporting periods.

Note: earlier sections on “Beneficiary Profile” and “Demographic Information on Award Recipients” were removed and replaced with required document uploads (to be prepared outside of the portal and uploaded in the new “Uploading File(s)” section).

When ready to submit, click the “Submit Quarter Report” button at the very bottom of the screen. A new window will appear in the center of the screen. Press the “OK” button to complete the submission.

You may also save a draft of the Quarterly Report before submission by pressing “Save Quarterly Report” instead of “Submit Quarter Report” allowing you to submit the report at a later time.

Payments to Individuals (“PIE”)

Previously, payments to individuals (e.g., salaries and benefits of state staff working on projects) were captured as awards. These costs are now being captured as Payments to Individuals costs.

In this section, provide quarterly obligations and quarterly incremental expenditures and provide start/end dates for the period to which the reported amounts correspond. *Please ensure that both the “Payment to Individual Obligations” and “Current PIE” fields contain the same (i.e., incremental) value.*

UPDATED: Project-Level Supporting Documents

There is a section, “Uploading File(s)”, for providing a required document called the “Allocation Implementation Form”. Generally, this document covers which Impacted and Disproportionately Impacted populations the project is targeting, the design and goals of the project, and information on expenditures covering infrastructure and transformation of real property. This document replaces three separate documents previously collected as Excel files.

The information for each of these document categories is first prepared outside the portal using an Adobe PDF reporting template that Finance has prepared and emailed out to each project team. Project teams should upload their completed PDFs into the portal in this section. Reporting is required for all projects except as specifically exempted by Finance.

There is also an optional “Supporting Document” category where projects may provide additional information, if needed. There is no minimum or maximum number of Supporting Document uploads. Documents uploaded as Microsoft Office documents (e.g., Word, Excel, PowerPoint) should be restricted to the latest versions of each file type (e.g., DOCX, XLSX, and PPTX, not DOC, XLS, or PPT).

The maximum size of any individual file is 10 megabytes.

As with award-level document uploads, it is possible to overwrite documents previously uploaded. On the left side of each uploaded file, there is an icon of a diagonal pencil. Click this icon to re-upload and overwrite a file previously uploaded.

Reporting on Treasury-Required Metrics, Outputs, and Outcomes

Near the bottom of the page, there is a “Programmatic Data” section containing fields for projects to provide various information as required by the U.S. Treasury or as agreed-upon with Finance. The fields are grouped by whether they are Treasury-Required fields, Outputs, or Outcomes and additional indicators are provided for the units of the fields (e.g., number or percent). Unless otherwise stated, outputs and outcomes should be actuals and supported by evidence made available upon request. While Finance may provide technical assistance to departments on meeting federal requirements, outputs and outcomes are exclusively determined by departments overseeing their project and program objectives. For more information on outputs and outcomes, see 2 CFR 200.202 and 2 CFR 200.301(a).

Using Portal from Entities' Perspective

Primes may view and edit the portal from the perspective of their entities. Primes can add and manage user accounts and add/update/submit award information. Primes can only add new entity user accounts when viewing the portal from the entity's perspective.

There are two ways to access the entities' perspective.

From the Home page: Select the project and click the name of the entity from the "Awardee" column in a project's award list.

From the Entities page: In the blue navigational bar, click the "Entities" option. Select "Under Department" to view the list of entities under the Prime's oversight. Click the desired entity from under the "Entity Name" column.

Primes are able to navigate to any entity, including entities not under their oversight. However, Primes are only able to view and edit information from an entity's perspective if that entity is under that Prime's oversight. Primes accessing an entity not under their oversight will not be able to see any of that entity's awards.

After accessing the entity perspective, Primes are able to return to their own perspective by clicking on "Prime Home" from the top navigational bar.

Additional information about working in the portal from the entity perspective is provided below in the "Entities" portion of this user guide.

System Rollover

Finance will update the portal after every quarter so that the portal always displays the latest reporting period and due dates. During this process, prior and most-recently submitted expenditure information will be combined into and displayed as cumulative, previously-submitted information. When accessing the portal for the first time after Finance has completed rollover, Primes should review all cumulative numbers to ensure that numbers from their most recent submissions are now properly reflected in those cumulative numbers.

Figure 6. Example of rolled-over expenditure information showing up as “Cumulative Expenditures (prior cycles)”. Note that this screenshot is taken from an earlier version of the portal when there was no award-level document upload sub-view.

your spam or junk email folder. Finance recommends that users add *no-reply@sfrf.dof.ca.gov* to your safe-senders list.

Logging in for the First Time

To log in for the first time: click the account verification link from the account creation notification email and when the page loads, click “Change password”. On the next page, type in your username, the current (default) password, and then a new password. New passwords must be at least ten characters long and must have at least one of each of the following:

- Upper case character
- Lower case character
- Number
- Special character (e.g., * % ^ &)

Click “Change password”, wait for a confirmation message, and then click “Back to Login” to return to the login page. Users may then log into their accounts.

Forgotten Passwords

If users forget their passwords, there is a link on the login page labeled “Forgot password”. This tool sends users emails with randomly-generated passwords. Subsequently, users will have to manually reset those passwords using the same “Change password” tool described above before they will be able to log in again.

Account Lockouts

Users will be locked out of the portal after five unsuccessful login attempts. Users can be unlocked by the Authorized Representative or Administrator of their entity. Users whose accounts are locked and then unlocked will have to create a new password.

System Inactivity

After 15 minutes of inactivity, users’ screens will be paused and users will have to re-enter their credentials to resume their sessions. Information entered but not saved will remain available after users resume their sessions.

After 30 minutes of inactivity, users will be logged out entirely and all unsaved information will be lost. Due to an ongoing system issue, in such a situation, Finance recommends users reload the portal login page entirely.

System Organization

The portal is organized, broadly, into three components: one for Finance, one for supervising Primes (equivalent to departments), and one for fund-receiving entities (hereafter referred to as simply “entities”).

Upon logging in, entity users will be taken to their Home Page, which shows a list of projects and awards associated with their entity.

Along the top of the browser window, there is a black navigational bar with the following options: Home, Awards, and Entity Contacts. Each option is clickable and loads a page with the following functionalities (some of these functionalities are only available to users with editing privileges):

Home Page: View identifying information associated with entity; all awards associated with entity; edit quarterly award and expenditure information; and download historical submission information as an Excel spreadsheet.

Awards: See summary information for all awards associated with Sub.

Entity Contacts: View all user accounts associated with Sub; and add and delete user accounts.

More information on these various pages and actions is provided below.

There is also a “Log Out” option on the far right of the black navigational bar. It is preferable to log out via this option instead of simply closing your browser window.

Entity User Accounts

Finance or an entity’s supervising Prime will create an initial account for that entity’s “Authorized Representative” who will then be responsible for creating accounts for all other portal users from that entity or delegating that responsibility to an “Administrator”.

All accounts must have System Roles and Contact Roles.

- **System Roles:** Determines users’ ability to edit portal data.
- **Contact Roles:** Informational designations that helps Finance determine who may be the best point-of-contact in case of questions for a given issue.

System Roles and Contact Roles are described in more detail below.

System Roles

Authorized Representative: Master user who has full editing and reporting access for all awards and users under that entity. Able to: create, delete, and update user accounts; modify award information; and submit quarterly reports to the supervising Prime.

Administrator: This role shares the same permissions with Authorized Representative, except that Administrators cannot submit their quarterly report to the supervising Prime. Able to: create, delete, and update user accounts; and modify award information.

Reporting/Update: Able to: modify award information. Users can edit and save information, but cannot submit their quarterly report to the supervising Prime.

Entity Read Only User: No editing abilities. Users can only view current reports, download past submissions, and access contact information for other users.

Contact Roles

Accounting Contact: Individual who can answer accounting-related questions for the entire entity.

Audit Contact: Individual who can answer auditing-related questions for the entire entity (e.g., how information was gathered and subsequently verified before submitting to the Prime level).

Program Expert: Individual who can answer highly-specific programmatic questions about a particular award or awards. Individuals who are designated as Program Experts must be associated with specific awards when their accounts are being created.

Reporting Contact: Individual who can answer questions about highly-specific reporting questions about a particular award or awards. Individuals who are designated as Reporting Contacts must be associated with specific awards when their accounts are being created.

Finance Abilities

Finance has the abilities to: add/manage/delete users; reset passwords; lock and unlock users; add awards; edit awards; lock and unlock all users all at once; contact all users at once; and rollover the portal between quarters.

Adding a New User (Entity Contacts Page)

The screenshot shows a web form titled "Add Contact" with a close button (X) in the top right corner. The form contains the following fields and options:

- First Name ***: Text input with "Joe" entered.
- Last Name ***: Text input with "Sample" entered.
- Email Address ***: Text input with "joe.sample@sample.ca.gov" entered.
- Phone Number ***: Text input with "(916) 555-5555" entered. There are icons for phone and extension (Ext.) next to the input.
- Select System Role ***: A dropdown menu with "Reporting/Update" selected.
- Select Contact Role ***: A group of radio buttons with the following options:
 - ☐ Accounting Contact
 - ☐ Audit Contact
 - ☐ Program Expert
 - ☒ Reporting Contact
- ASSIGN AT LEAST ONE AWARD***: A checkbox with a red checkmark icon next to it, and a blue rectangular button to its right.

At the bottom left, there is a red asterisk followed by the text "indicates required field". At the bottom right, there are two buttons: "Cancel" and "Save changes".

Figure 7. Example of Adding an Entity-Level User Account

To add contacts, the user must be either an Authorized Representative or an Administrator, as these are the only system roles which are allowed to create new user accounts. Click "Entity Contacts" at the very top of the screen. After the page loads, press "Add Contact", which is on the center-left of the page. Enter the first name, last name, email address, and phone number of the individual. Select a System Role and a Contact Role for the individual. All users must be associated with at least one award.

Managing Existing Users (Entity Contacts Page)

STATE FISCAL RECOVERY FUNDS Home Awards Sub-Recipient Contacts Log Out

Sub-Recipient: 3 Beautiful Daughters Llc

Contacts

SUB-RECIPIENT: 3 Beautiful Daughters Llc
DUNS: 789456121
SUPPLIER ID: 161682
ADDRESS: 81 Curtner Ave Ste 50, San Jose, CA, 95125-1064

[Add Contact](#)

Sort - Click on Column Header

First Name	Last Name	Phone Number	Email Address	Point of Contact Role	Assigned Award(s)	System Role
0509 Sub 4 Authorized	Representative	(916) 555-5555	0509.sub4.authorized@dof.ca.gov	Accounting Contact	Direct #A001 Grant #A002	Authorized Representative
0509 Sub 4	Read Only	(999) 999-9999	0509.sub4.readonly@dof.ca.gov	Reporting Contact		Sub-Recipient Read Only User

Figure 8. Example of Account Management from “Entity Contacts” page. Note: this screenshot is from an earlier version of the portal when all entities were referred to as “Sub-Recipients”.

Only Authorized Representatives or Administrators can manage user roles. Click “Entity Contacts” from the black navigational bar. After the page loads, you will see the full list of user accounts associated with the Sub.

Update existing account

On the far left of the screen, there is an icon of a pencil. Click this icon to modify the permissions and award assignments for an existing user account. A window will appear in the center of the page equivalent to the window that appears when creating new user accounts. You can edit all user information except the email address.

Delete account

On the far right of the screen, there is an icon of a trash can. Click this icon to delete a particular user account. There will be a separate confirmation window before the user account is deleted.

Locked account

In the event an entity user account becomes locked due to too many failed login attempts, or if a particular entity user account needs to be temporarily locked out, please contact the supervising Prime.

Editing Award and Expenditure Information and Submitting Quarterly Reports to Prime

As part of the normal cadence of reporting, entities will submit their expenditures to Primes about one week before Primes must submit to Finance. This schedule gives Primes a window to verify all reports are accurate before submitting to Finance. If a Prime finds an issue with any reported information, a Prime user with editing permissions may work with entities to correct it or may update the information themselves. Electronic documentation should be saved to demonstrate the change and agreement from both entities and Primes.

Award information may be updated until entities submit their information to their supervising Primes.

STATE FISCAL RECOVERY FUNDS
[Home](#)
[Awards](#)
[Entity Contacts](#)
Log Out

Entity:

Award # period covering 04/01/2022 to 06/30/2022
Relief for Water Arrearages

1 Award
2 **Expenditure/Obligation**
3 Demographic Distribution
4 Supporting Documents
5 Submission

Enter quarterly expenditure and obligation amounts and click **Next** to continue. Click **Save** to save changes.

** indicates required field*

Expenditure Amounts

Cumulative Expenditures (prior cycles)	0
Expenditure Adjustments (+/-) prior cycles *	0
Expenditures (Current Cycle)*	0
Total Cumulative Expenditures	0

Obligation Amounts

Remaining Obligation *	2,042,264
Total Cumulative Expenditures	0
Total Cumulative Expenditures+Obligation	2,042,264
Award Amount	2,042,264

Notes (WILL BE SENT TO PRIME RECIPIENT)

Back

Save and Continue

Figure 9. Example of adding expenditure information to an award from the entity perspective.

Updating Award and Expenditure Information (Home Page)

Make sure you are logged in as either an Authorized Representative or an Administrator. To edit an award and/or enter expenditure information, navigate to the Home page. On the far right of the screen, for each award, there is a green button labeled “View/Edit/Submit”. Click this button to enter the unified tool for adding in award and expenditure information and submitting to the supervising Prime. A new page will appear with five sub-views: Award, Expenditure/Obligation, Demographic Distribution, Supporting Documents, and Submission.

Award

On the first sub-view, “Award”, press “Edit” to update basic Award Information and Performance Information. This information will generally be pre-populated by the supervising Prime, but you may update the Award Description and you may need to enter the various pieces of Performance Information, if it was not pre-populated by the Prime. If you update this information, please let the supervising Prime know and keep documentation of the reasons why you are updating.

Expenditure/Obligation

On the second sub-view, “Expenditure/Obligation”, any edits to Expenditures and Obligations may be typed directly into the boxes shaded light grey. Expenditures may be updated for the current reporting cycle and for prior cycles.

NOTE: Expenditures are being reported to the U.S. Treasury on a cash basis and equals the total of the remaining obligations and expenditures reported in this portal. As described in [the Frequently Asked Questions](#), remaining obligations are the amount of funds that have been advanced to subrecipients, which have not yet been used to pay invoices, and expenditures are the amount of funds paid to subrecipients to reimburse them for goods, services, and administrative costs as well as invoices actually paid by the subrecipient from advanced funds.

Demographic Distribution

To access the third sub-view, “Demographic Distribution”, you must press the “Save and Continue” button at the bottom of the window. Entities are required to provide an answer and explanation for the Demographic Distribution question.

Supporting Documents

The fourth sub-view allows you to upload backup documentation. Examples of backup documentation may be copies of contracts or executed grant agreements, invoices, or accounting records. For any uploaded file, a brief description is required; there is a text field to provide this description. The maximum file size for any individual file is 10 megabytes.

It is also possible to overwrite documents previously uploaded. On the left side of each uploaded file, there is an icon of a diagonal pencil. Click this icon to re-upload and overwrite a file previously uploaded.

Submission

While in the “Supporting Documents” sub-view, click “Submission” to access the fifth and final sub-view. The “Submit Quarterly Report” saves all changes on this sub-view. Click the “X” in the top right corner to return to the “Award” home screen.

After the award and expenditure information is submitted, the information will be transmitted to the supervising Prime and you will lose the ability to revise that award’s information, including expenditures, until the next reporting period opens. The supervising Prime and Finance, however, will be able to revise the award and expenditure information, if needed.

Note Regarding Creation of New Awards

If a Prime creates a new award subsequent to the creation of the entity’s Authorized Representative user account, the Prime will have to modify the entity’s Authorized Representative’s user account to be associated with that new award. Until that association is made, no user account of the entity will be able to input and submit information related to the new award. After the association is made, the entity’s Authorized Representative will be able to associate other users from that entity with the new award.

System Rollover

Finance will update the portal after every quarter so that the portal always displays the latest reporting period and due dates. During this process, prior and most-recently submitted expenditure information will be combined into and displayed as cumulative, previously-submitted information. When accessing the portal for the first time after Finance has completed the rollover, entities should review all cumulative numbers to ensure that numbers from their most recent submissions are now properly reflected in those cumulative numbers.

Appendix 1: Definition of Award Types

Contract: Purchase order – an offer by the government to buy supplies or services, including construction and research and development, upon specified terms and conditions, using simplified acquisition procedures.

Contract: Delivery order – an order for supplies placed against an established contract or with Government sources.

Contract: Blanket Purchase Agreement – a simplified method of filling anticipated repetitive needs for supplies or services by establishing charge accounts with qualified sources of supply.

Contract: Definitive contract – a contract with defined contract terms, specifications, and price.

Direct Payment – payment made to individuals or households.

Transfer – funds transferred to private nonprofit organization (as that term is defined in paragraph (17) of section 401 of the McKinney-Vento Homeless Assistance Act (42 U.S.C. 11360(17)), a Tribal organization (as that term is defined in section 4 of the Indian Self-Determination and Education Assistance Act (25 U.S.C. 5304)), a public benefit corporation involved in the transportation of passengers or cargo, or a special-purpose unit of State or local government. Can be made on lump sum or reimbursable basis (see section 602(c)(3) of the Social Security Act, as amended by section 9901 of the American Rescue Plan Act)

Grant – a legal instrument of financial assistance between a Federal awarding agency or pass-through entity and a non-Federal entity, which can be made either on a lump sum or reimbursable basis and that:

- is used to enter into a relationship the principal purpose of which is to transfer anything of value to carry out a public purpose authorized by a law of the United States;
- is distinguished from a cooperative agreement in that it does not provide for substantial involvement of the Federal awarding agency in carrying out the activity contemplated by the Federal award;
- does not include an agreement that provides only:
 - Direct United States Government cash assistance to an individual;
 - A subsidy
 - A loan
 - A loan guarantee
 - Insurance

Loan

- *Maturity prior to 12/31/26 with planned forgiveness and Maturity prior to 12/31/26 without planned forgiveness.* Funds must be tracked on cash flow basis, consistent with Treasury's guidance regarding loans made by recipients using payments from the Coronavirus Relief Fund. Recipients may use SLFRF funds to fund the principal of the loan and in that case must track repayment of principal and interest (i.e., "program income," as defined under 2 C.F.R. § 200).

- *Maturity past 12/31/26 with planned forgiveness and Maturity past 12/31/26 without planned forgiveness.* Recipients must estimate the cost to the recipient of extending the loan over the life of the loan. In other words, at origination, the recipient must measure the projected cost of the loan and may use SLFRF funds for the projected cost of the loan. Recipients have two options for estimating this amount: They may estimate the subsidy cost (i.e., net present value of estimated cash flows) or the discounted cash flow under current expected credit losses.